

Management System: Quality Assurance and Oversight

Subject Area Description: Quality Organization

EMCBC Quality Assurance Implementation Plan (QIP)

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Issue Date: 03/17/15

Revision: 4

1. Purpose

The purpose of this document is to establish the Environmental Management Consolidated Business Center (EMCBC) Quality Assurance Program (QAP). This document identifies the quality requirements implemented through the EMCBC QAP implementing procedures, plans, and processes.

2. Scope

The EMCBC adopts the *EM Quality Assurance Program* (EM-QA-001) as the basis for achieving quality. This approach ensures a quality assurance program consistent with the EM projects while allowing the EMCBC to grade the application of requirements based on importance to safety and applicability to the EMCBC mission. The EM QAP meets the requirements of 10 CFR 830 Subpart A, *Quality Assurance Requirements* and DOE O 414.1D, *Quality Assurance*, utilizing the American Society of Mechanical Engineers (ASME) NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications*, including addenda through 2009, as a consensus standard for implementation of the QAP. The EMCBC demonstrates how these requirements are applied to EMCBC activities through this *Quality Assurance Implementation Plan (QIP)*. In addition, the EM QAP, EMCBC QIP and associated procedures, provide a formal, organized process to plan, perform, assess, and improve quality performance (Plan–Do–Check–Act Cycle) at the EMCBC, supported EM Small Sites, and Service Level Agreement (SLA) Sites adopting this Plan.

The quality requirements of the EM QAP are applied to all processes and services identified as applicable in this EMCBC QIP. The grading of QA requirements as they apply to each process and service is also provided in this EMCBC QIP.

3. Applicability

This Plan is applicable to all EMCBC employees and applicable EMCBC direct support contractors. Each level of line management has the responsibility to consider the impacts of their activities on the quality of goods and services provided by the EMCBC.

The EM Small Sites, SLA Sites, and EMCBC direct support contractors adopting this Plan also share our responsibilities for quality. The EMCBC expects its direct support contractors and participating sites to conduct facility operations with the same commitment to “doing work safely” and “doing work correctly.”

4. Requirements

- 4.1 10 CFR 830 Subpart A, *Quality Assurance Requirements*
- 4.2 DOE O 414.1D, *Quality Assurance*
- 4.3 EM-QA-001, *EM Quality Assurance Program (QAP)*, Revision 1, Issue Date June 11, 2012
- 4.4 ASME NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications*, including addenda through 2009

5. Management Expectations

Management Expectations as identified in the EM QAP are utilized during planning, development, and assessment of EMCBC processes and procedures and are identified in the EMCBC QIP Matrix (Attachment A).

6. Responsibilities

EMCBC Director	Director has the overall responsibility and accountability for the scope and implementation of the EMCBC QAP including the procedures, plans, and processes identified in this EMCBC QIP.
EMCBC Office of Technical Support and Asset Management, Director of Safety and Quality Division	The senior manager responsible for the EMCBC QIP. This includes periodically (at least annually) reviewing and updating the EMCBC QIP to maintain configuration of the EMCBC QAP and EMCBC QAP implementing procedures, plans and processes.

7. Supporting Management Systems, Subject Areas, and Procedures

Organizational functions and responsibilities are defined through the EMCBC Management System and the EMCBC Functions, Responsibilities, and Authorities (FRA) Document. The role of each organization in achieving quality is defined in implementing procedures used to

conduct day to day work. These implementing procedures are also identified in the EMCBC QIP Matrix (Attachment A).

8. Organization Chart

The EMCBC Director publishes and updates an organizational chart showing the overall structure of the EMCBC. This organization chart is available at the EMCBC web site at www.emcbc.doe.gov. The Quality Assurance Function is a part of the EMCBC Office of Technical Support and Asset Management.

9. Quality Assurance Programs

QAPs submitted for review and approval where the EMCBC is the approval authority, must be approved or rejected within 90 calendar days after receipt.

10. Additional Requirements and Standards

Additional requirements and standards may be applicable to unique or specific processes within the EMCBC based on contractual or regulatory requirements. These additional requirements and standards are identified in the specific implementing procedures when applicable.

11. Integration with the EMCBC Integrated Safety Management System

The DOE fundamental quality expectation is that all work meets established requirements. In this regard, the quality management system ensures compliance with the approved safety standards, so that the expectation for safe work within controls is met. This also ensures that workers, the environment, and the public are reasonably protected from harm.

12. Suspect/Counterfeit Items Prevention

The EMCBC does not procure any items requiring a program for Suspect/Counterfeit Items Prevention. The EMCBC delegates procurement of items through contract to contractors. The Suspect/Counterfeit Items Prevention requirements of DOE O 414.1D are flowed-down to these contractors and their subcontractors. EMCBC provides oversight and assessment to applicable contracts.

13. Grading Application

The EMCBC applies the requirements of DOE O 414.1D, and NQA-1 by using the graded approach specified in the EM QAP, Attachment D.

Grading Application – Process Steps

1. The first step in the grading process is to identify the hazards, and for the facility level their consequences and probability of a failure, before work begins.

2. The second step is to identify the specific requirements and controls to be applied.
3. The third step is to determine the depth, extent, and degree of rigor necessary in the application of the requirements and controls.
4. The final step is to communicate and implement the selected requirements and controls and their degree of rigor by means of documented work processes (procedures, instructions, specifications, and controls).

Grading Application – EMCBC QIP Matrix

The primary mission of the EMCBC is to provide business and technical resources to Environmental Management customer sites, including financial and project management, human capital management, information management, contracting, legal services, logistics, and technical services. Since the EMCBC is an office environment, by nature it does not have the hazards, safeguards, security or other factors that are associated with other EM sites. However, the EMCBC does have a programmatic mission to provide oversight and procurement activities where quality products and services are important to the overall mission of the DOE. This factor is used to determine the application of quality requirements to EMCBC processes as defined in the EMCBC QIP Matrix (Attachment A).

14. Support Contractor Requirements Flowdown

The requirements of this QIP are flowed down to all EMCBC support contractors where applicable. The flow-down of these requirements is graded using the same process as defined in Section 13.0 of this document.

15. Effectiveness Review and Annual Declaration Report

EMCBC personnel are required to perform an annual effectiveness review of the QA program implementation and provide a declaration report to DOE HQ as required in the EM QAP. These reviews are conducted utilizing HQ direction and/or guidance and applicable EMCBC assessment procedures.

16. Annual Performance Objectives, Measures, and Commitments

Annual performance objectives are communicated down through the organization through the annual performance planning process. In addition, EMCBC goals and objectives are established at the highest level by the EMCBC strategic plan. These goals are then cascaded through the organization by establishing individual goals that are measured against commitments.

17. Attachments

Attachment A – EMCBC Quality Assurance Implementation Plan (QIP) Matrix

EMCBC RECORD OF REVISION

DOCUMENT TITLE: EMCBC Quality Assurance Implementation Plan

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Original issue to address DOE O 414.1C and EM QA initiatives.		10/11/2007
2	Revised to adopt EM-QA-001, Rev 0, EM QAP, and address NQA-1-2004 (with addenda through 2007) in the EMCBC QIP Matrix.	All	06/15/2009
3	Revised to address DOE O 414.1D, EM-QA-001, Rev 1, EM QAP, and NQA-1-2008 (with addenda through 2009).	All	12/31/2012
4	Revised to address EMCBC QIP Rev 3 Conditional Approval comments. Added EM QAP Management Expectations to the EMCBC QIP Matrix.	All	03/17/2015